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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 005489.P006
(maximum 12 characters)

First Named Inventor Wayne V. Sorin, et al.

Title: OPTICAL FIBER CLADDING WITH LOW POLARIZATION-DEPENDENT COUPLING

Express Mail Label No. EL 867647473 US

UC668 U.S. PRO
10/05/08
01/22/02

ADDRESS TO: **Assistant Commissioner for Patents**
Box Patent Application
Washington, D.C. 20231

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. **Fee Transmittal Form (e.g., PTO/SB/17)**
(Submit an original, and a duplicate for fee processing)
2. **Applicant Claims Small Entity Status (37 CFR 1.27)**
3. **Specification (Total Pages 35)**
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. **Drawing(s) (35 USC 113) (Total Sheets 21)**
5. **Oath or Declaration (Total Pages 5)**
 - a. Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 18 completed)
 - i. **DELETIONS OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
 - c. Unsigned
6. **Application Data Sheet (37 CFR 1.76)**
7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on.
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. **Assignment Papers (cover sheet & document(s))**

10. a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
 b. Power of Attorney

11. English Translation Document (if applicable)

12. a. Information Disclosure Statement (IDS)/PTO-1449
 b. Copies of IDS Citations

13. **Preliminary Amendment**

14. **Return Receipt Postcard (MPEP 503) (should be specifically itemized)**

15. Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**

17. Other: Certificate of Express Mail with copy of postcard showing contents.

18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

Continuation Divisional Continuation-in-part (CIP)
Of Prior Application No.: 09/944,283 Examiner Not Yet Assigned Group Art Unit 2874
(which is a continuation/ divisional/ CIP of prior application no. 09/738,282,
which is a continuation/ divisional/ CIP of prior application no. 09/426,060 (now 6,266,462),
which is a continuation/ divisional/ CIP of prior application no. 09/022,413 (now 6,021,237),
which claims priority to Korean Application No. 97-24796). (List entire chain of priority.)

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.

For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that _____ (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel. No. _____ Frame No. _____ (or a copy of which is attached).

19. Correspondence Address

Customer Number or Bar Code Label _____
or _____ (Insert Customer No. or Attach Bar Code Label here)

Correspondence Address Below

NAME Stephen M. De Klerk
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard
Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-8383

Name (PRINT/TYPE): Stephen M. De Klerk Registration No.: 46,503
Signature: Stephen M. De Klerk Date: January 22, 2002

FEE TRANSMITTAL FOR FY 2002

TOTAL AMOUNT OF PAYMENT (\$) \$896.00

Complete if Known:

Application No. Not Yet Assigned
 Filing Date Herewith
 First Named Inventor Wayne V. Sorin
 Group Art Unit Not Yet Assigned
 Examiner Name Not Yet Assigned
 Attorney Docket No. 005489.P006

METHOD OF PAYMENT (check one)

The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 02-2666
 Deposit Account Name

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27.

Payment Enclosed: Check
 Money Order
 Other

FEE CALCULATION

1. BASIC FILING FEE

<u>Large Entity</u>	<u>Small Entity</u>				
Fee	Fee	Fee	Fee		
Code	(\$)	Code	(\$)		
101	740	201	370	Fee Description	
106	330	206	165	Utility application filing fee	<u>\$740.00</u>
107	510	207	255	Design application filing fee	<u></u>
108	740	208	370	Plant filing fee	<u></u>
114	160	214	80	Reissue filing fee	<u></u>
				Provisional application filing fee	<u></u>
SUBTOTAL (1) <u>\$740.00</u>					

2. EXTRA CLAIM FEES

	<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
Total Claims <u>24</u>	<u>- 20** = 4</u>	<u>X \$ 18.00</u>	<u>= \$72.00</u>
Independent Claims <u>4</u>	<u>- 3** = 1</u>	<u>X 84.00</u>	<u>= 84.00</u>
Multiple Dependent			<u>=</u>

**Or number previously paid, if greater; For Reissues, see below.

<u>Large Entity</u>	<u>Small Entity</u>				
Fee	Fee	Fee	Fee		
Code	(\$)	Code	(\$)		
103	18	203	9	Fee Description	
102	84	202	42	Claims in excess of 20	<u></u>
104	280	204	140	Independent claims in excess of 3	<u></u>
109	84	209	42	Multiple dependent claim, if not paid	<u></u>
110	18	210	9	**Reissue independent claims over original patent	<u></u>
				**Reissue claims in excess of 20 and over original patent	<u></u>
SUBTOTAL (2) <u>\$ 156.00</u>					

FEE CALCULATION (continued)

3. ADDITIONAL FEES

<u>Large Entity</u>		<u>Small Entity</u>			
Fee	Fee	Fee	Fee	<u>Fee Description</u>	<u>Fee Paid</u>
Code	(\$)	Code	(\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
099	8,800	099	8,800	Request for inter partes reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	400	216	200	Extension for response within second month	
117	920	217	460	Extension for response within third month	
118	1,440	218	720	Extension for response within fourth month	
128	1,960	228	980	Extension for response within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive unavoidably abandoned application	
141	1,280	241	640	Petition to revive unintentionally abandoned application	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee/provisional applications; 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt.	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	For filing a submission after final rejection (see 37 CFR 1.129(a))	
148	110	248	55	Statutory Disclaimer	
149	740	249	370	For each additional invention to be examined (see 37 CFR 1.129(b))	
169	900	169	900	Request for expedited examination of a design application	
179	740	279	370	Request for Continued Examination (RCE)	
194	130	194	130	Request for voluntary publication or republication	
195	300	195	300	Publication fee for early, voluntary, or normal pub.	
196	300	196	300	Publication fee for republication	
098	130	098	130	Processing fee under 37 C.F.R. 1.17(i) (except provisionals)	
091	1,280	091	1,280	Acceptance of unintentionally delayed claim for priority	

Other fee (specify) _____

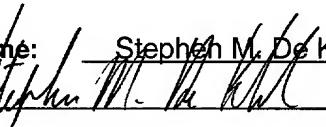
Other fee (specify) _____

SUBTOTAL (3) \$ 0.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: / Stephen M. De Klerk

Signature:  Date: January 22, 2002

Reg. Number: 46,503 Telephone Number: (408) 720-8300

EXPRESS MAIL CERTIFICATE OF MAILING

"Express Mail" mailing label number: EL 867647473 US

Date of Deposit: January 22, 2002

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, U.S. Patent and Trademark Office, Washington, D.C., 20231.

Linda K. Brost

(Typed or printed name of person mailing paper or fee)

Linda K. Brost

(Signature of person mailing paper or fee)

January 22, 2002

(Date signed)

EL 867647473 US

Serial/Patent No.: Not Yet Assigned Filing/Issue Date: Herewith

Client: Novera Optics, Inc.

Title: OPTICAL FIBER CLADDING WITH LOW POLARIZATION-DEPENDENT COUPLING

BSTZ File No.: 005489.P006

Atty/Secty Initials: LJV/SMD/1kb

Date Mailed: January 22, 2002

Docket Due Date: ***

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

Amendment/Response (____ pgs.) Express Mail No.: EL867647473US Check No. 47782
 Appeal Brief (____ pgs.) (in triplicate) Month(s) Extension of Time Amt: \$896.00
 Application - Utility (____ pgs., with cover and abstract) Information Disclosure Statement & PTO-149 (____ pgs.) Check No. _____
 Application - Rule 1.53(b) Continuation (____ pgs.) Issue Fee Transmittal Amt: _____
 Application - Rule 1.53(b) Divisional (____ pgs.) Notice of Appeal
 Application - Rule 1.53(b) CIP (____ pgs.) Petition for Extension of Time
 Application - Rule 1.53(d) CPA Transmittal (____ pgs.) Petition for _____
 Application - Design (____ pgs.) Postcard
 Application - PCT (____ pgs.) Power of Attorney (____ pgs.)
 Application - Provisional (____ pgs.) Preliminary Amendment (____ pgs.)
 Assignment and Cover Sheet Reply Brief (____ pgs.)
 Certificate of Mailing Response to Notice of Missing Parts
 Declaration & POA (____ pgs.) (unsigned) Small Entity Declaration for Indep. Inventor/Small Business
 Disclosure Docs & Oig & Cpy of Inventor's Signed Letter (____ pgs.) Transmittal Letter, in duplicate (____ pgs.)
 Drawings: 21 # of sheets includes 28 figures Fee Transmittal, in duplicate (____ pgs.)

Other: Certificate of Express Mailing with copy of postcard showing contents of Express Mail packet.